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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/715,081	11/17/2003	Philip S. Langridge	069547.0178	3294
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BAKER BOTTS L.L.P. 2001 ROSS AVENUE SUITE 600 DALLAS, TX 75201-2980				
			EXAMINER ZECHER, MICHAEL R	
			ART UNIT 3691	PAPER NUMBER
			NOTIFICATION DATE 08/10/2007	DELIVERY MODE ELECTRONIC

Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

Notice of the Office communication was sent electronically on above-indicated "Notification Date" to the following e-mail address(es):

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Office Action Summary

Application No.

10/715,081

Applicant(s)

LANGRIDGE, PHILIP S.

Examiner

Michael R. Zecher

Art Unit

3691

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 17 November 2003.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-25 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-25 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 17 November 2003 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
 - ☐ Certified copies of the priority documents have been received in Application No. _____.
 - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413) |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | Paper No(s)/Mail Date. _____ |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date <u>6/28/2006, 3/8/2007</u> . | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

1. The following is a non-final, first office action on the merits. Claims 1-25 are pending.

Claim Rejections - 35 USC § 102

2. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

3. **Claims 1-25** are rejected under 35 U.S.C. 102(b) as being anticipated by Martyn et al. (U.S. 6,195,647).

As per claim 1, Martyn et al. teaches a method for providing a customizable trading display of market instrument data comprises:

selecting a subset from a plurality of quadrants (See column 11, lines 43-44, which discusses displaying a selected portion of securities), each quadrant associated with one benchmark instrument (See figure 4, #4024, which illustrates the inside quote for a specific security), each benchmark instrument associated with one or more non-benchmark instruments (See figure 4, #4060, which illustrates information of offers and bids based on a specific security);

automatically retrieving market data for the instruments associated with each selected quadrant (See column 5, lines 51-56, which discuss receiving market data in real time); and

generating a customizable trading display (See column 1, lines 53-58, which discusses customizing a trading display), the display comprising the subset of quadrants and each quadrant including the associated market data (See column 11, lines 43-44, which discusses displaying every trade and quote update for all or a selected portion of all securities).

As per claim 2, Martyn et al. teaches:

receiving a selection of a new benchmark instrument from one of the selected quadrants (See figure 4, #410, which illustrates how a user may change the security by typing in a different security name);

selecting a replacement quadrant from the plurality of quadrants (See column 7, lines 24-34, which discusses selecting a particular Dynamic Quote set-up or a pre-determined portion), the replacement quadrant associated with the new benchmark instrument (See figure 4, #410, and column 7, lines 24-34, which illustrate and discuss how a user may change the security associated with a particular Dynamic Quote set-up);

automatically retrieving market data for the instruments associated with the replacement quadrant (See column 5, lines 51-56, which discuss receiving market data in real time); and

updating the customizable display based on the replacement quadrant, the replacement quadrant including the new market data (See column 9, lines 47-54, which discusses a quick quote that allows a user to update a quote for a security).

As per claim 3, Martyn et al. teaches each instrument comprising a market depth (See column 3, lines 48-59, discusses bid market depth) and the method further comprises generating each quadrant based on a default market depth for each associated instrument (See column 3, lines 55-59, which discusses the definition of bid market depth and offer market depth; the definitions provide a default market depth number for a desired security).

As per claim 4, Martyn et al. teaches each market depth comprising a value between one and ten (See figure 8, #813, which illustrates a market depth of 1).

As per claim 5, Martyn et al. teaches updating the current market depth associated with one instrument in response to receiving a market depth update request, the market depth update request comprising a market depth value different from the current market value of the instrument to be updated (See column 9, lines 66, through column 10, line 4, discusses updating and changing the market depth value).

As per claim 6, Martyn et al. teaches expanding the quadrant associated with the updated instrument based on the updated market depth (See column 9, lines 47-54, and column 10, lines 1-2, which discusses a quick quote that allows a user to monitor the depth of the market for a specific security and; furthermore, update the changes that occur within the system).

As per claim 7, Martyn et al. teaches the quadrant comprising a first quadrant and the method further comprising:

selecting a second quadrant associated with the first quadrant (See column 7, lines 24-34, which discusses selecting more than one Dynamic Quote set-ups or a pre-determined portion);

expanding the second quadrant to match a size of the first quadrant (See column 12, lines 22-25 & 40-55, which allow a user to view which securities are displayed in various windows and; furthermore, add and delete securities to match displays in various windows); and

scaling the remaining quadrants to maintain a size of the customizable trading display (See column 12, lines 45-55, which discusses how the tick size for a newly added security is initially the default).

As per claim 8, Martyn et al. teaches, in response to the market depth of one instrument being greater than one, generating an identifiable graphical user interface (GUI) element associated with the instrument for inclusion in the trading display (See column 10, lines 5-56, and column 11, lines 10-18, which discusses presenting the user with a QuickPik window, if so configured; and, furthermore, setting options for automatic sequencing that enables a user to sequence through associated icon buttons, including market depth), the GUI element operable to request an expansion of the associated instrument (See figure 3, #3040, which allows a user the option of a Full Screen Setup function).

As per claim 9, Martyn et al. teaches software for providing a customizable trading display of market instrument data (See column 4, lines 12-16, which discusses utilizing the NASDAQ Workstation II software system) comprises:

select a subset from a plurality of quadrants (See column 11, lines 43-44, which discusses displaying a selected portion of securities), each quadrant associated with one benchmark instrument (See figure 4, #4024, which illustrates the inside quote for a specific security) and at least one non-benchmark instrument (See figure 4, #4060, which illustrates a list of offers and bids), each non-benchmark instrument associated with the benchmark instrument (See figure 4, #4060, which illustrates information of offers and bids based on a specific security);

automatically retrieve market data for the instruments associated with each selected quadrant (See column 5, lines 51-56, which discuss receiving market data in real time); and

generate a customizable trading display (See column 1, lines 53-58, which discusses customizing a trading display), the display comprising the subset of quadrants and each quadrant including the associated market data (See column 11, lines 43-44, which discusses displaying every trade and quote update for all or a selected portion of all securities).

Claims 10-16 recite equivalent limitations to claims 2-7, respectively, and are therefore rejected using the same art and rationale set forth above.

As per claim 17, Martyn et al. teaches a trading system for providing a customizable trading display of market instrument data comprises:

a central repository operable to store a plurality of market data (See figure 1, #129, which illustrates a securities database, user database, trade database, market database, and system display database); and

a trading client (See title) comprising:

memory operable to store a plurality of quadrants (See figure 1, #150, which illustrates a processing unit/memory), each quadrant associated with one benchmark instrument (See figure 4, #4024, which illustrates the inside quote for a specific security) and at least one non-benchmark instrument (See figure 4, #4060, which illustrates a list of offers and bids), each non-benchmark instrument associated with the benchmark instrument (See figure 4, #4060, which illustrates information of offers and bids based on a specific security); and

one or more processors operable (See figure 1, which illustrates a central computer and several work stations) to:

select a subset from the plurality of quadrants (See column 11, lines 43-44, which discusses displaying a selected portion of securities);

automatically retrieve market data for the instruments associated with each selected quadrant from the central repository (See column 5, lines 51-56, which discuss receiving market data in real time); and

generate a customizable trading display (See column 1, lines 53-58, which discusses customizing a trading display), the display comprising the subset of quadrants and each quadrant including the associated market data (See column 11, lines 43-44, which discusses displaying every trade and quote update for all or a selected portion of all securities).

Claims 18-24 recite equivalent limitations to claims 2-7, respectively, and are therefore rejected using the same art and rationale set forth above.

As per claim 25, Martyn et al. teaches the trading client further comprising a customized keyboard including at least one key operable to interact with the GUI element (See column 10, lines 18-22, which discuss designating a "hot key" for a particular display capable of interacting with a corresponding screen).

Conclusion

4. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

Risberg et al. (U.S. 5,339,392) discloses an apparatus and method for creation of a user definable video displayed document showing changes in real time data.

Sasaki (U.S. 5,914,715) discloses an analytical data display method and apparatus.

Brumfield et al. (U.S. 2006/0271475) discloses a system and method for group positioning of market information in a graphical user interface.

Brumfield et al. (U.S. 2006/0265304) discloses a system and method for group positioning of market information in a graphical user interface.

Howorka et al. (U.S. 2005/0171895) discloses a method and apparatus for deriving benchmarks for trading instruments.

Duka (U.S. 2005/0075966) discloses a method of processing, displaying and trading financial instruments and an electronic trading system thereof.

Ram et al. (U.S. 2003/0009411) discloses an interactive grid-based graphical trading system for real time security trading.

Martyn et al. (U.S. 2001/0003179) discloses an on-line transaction processing system for security trading.

Whitney (U.S. 2005/0004852) discloses a system, method and computer medium for trading interface.

Lutnick et al. (U.S. 2004/0158519) discloses an electronic systems and methods for providing a trading interface with advanced features.

Kemp, II et al. (U.S. 6,772,132) discloses a click based trading with intuitive grid display of market depth.


Any inquiry concerning this communication or earlier communications from the examiner should be directed to Michael R. Zecher whose telephone number is 571-270-3032. The examiner can normally be reached on M-F 7:30-5:00 alt. Fridays off.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Alexander Kalinowski can be reached on 571-272-6771. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Art Unit: 3691

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

MRZ



Stefanos Karmis